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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
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| 10/688,204 | 10/17/2003 | Ganesan Chandrashekhar | 021970-000810US | 6659 |
| 20350 | 7590 | 06/01/2007 | EXAMINER | |
| TOWNSEND AND TOWNSEND AND CREW, LLP | | | HOANG, DANIEL L | |
| TWO EMBARCADERO CENTER | | | ART UNIT | PAPER NUMBER |
| EIGHTH FLOOR | | | 2136 | |
| SAN FRANCISCO, CA 94111-3834 | | | MAIL DATE | DELIVERY MODE |
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Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

| | | |
|------------------------------|------------------------|-----------------------|
| Office Action Summary | Application No. | Applicant(s) |
| | 10/688,204 | CHANDRASHEKHAR ET AL. |
| | Examiner | Art Unit |
| | Daniel L. Hoang | 2136 |

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) Responsive to communication(s) filed on 10/17/03, 3/12/07.
- 2a) This action is FINAL. 2b) This action is non-final.
- 3) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) Claim(s) 1-40 is/are pending in the application.
- 4a) Of the above claim(s) 13-40 is/are withdrawn from consideration.
- 5) Claim(s) _____ is/are allowed.
- 6) Claim(s) 1-12 is/are rejected.
- 7) Claim(s) _____ is/are objected to.
- 8) Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) The specification is objected to by the Examiner.
- 10) The drawing(s) filed on 17 October 2003 is/are: a) accepted or b) objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) All b) Some * c) None of:
 1. Certified copies of the priority documents have been received.
 2. Certified copies of the priority documents have been received in Application No. _____.
 3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

CLAIMS PRESENTED

Claims 1-12 are presented.

CLAIM REJECTIONS

Claim Rejections - 35 USC § 112

The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

1. Claim 2 is rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the enablement requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention. The claim cites that "the file comprises retrieval and verification information." Applicant's specification does not mention the file comprising this information nor does it define them. For purposes of examination, examiner interprets that applicant intends to mean that the file is encrypted. Appropriate correction is required.
2. Claim 7 is rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the enablement requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention. The claim cites the limitation, "statistics in a database". The specification does not define what these statistics are. For purposes of examination, examiner interprets this to mean the authentication information gathered from the client is compared to information stored on the server. Appropriate correction is required.
3. Claims 8-9 are rejected under 35 U.S.C. 112, first paragraph, as failing to comply with the enablement requirement. The claim(s) contains subject matter which was not described in the

specification in such a way as to enable one skilled in the art to which it pertains, or with which it is most nearly connected, to make and/or use the invention. The claims cite a secure catalog database. The specification does not mention a secure catalog database. It is unclear to examiner what applicant intends a secure catalog database to mean. For purposes of examination, examiner interprets a secure catalog database to be a database that stores client identification information that is only accessible by authorized parties. Appropriate correction is required.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

- (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1-12 are rejected under 35 U.S.C. 103(a) as being unpatentable over Tsao, US PGP No. 20030079016, and further in view of Wenocur et al, US PGP No. 20020194501.

As per claim 1:

Tsao teaches:

A method processing one or more files using a security application, the method comprising:
connecting the client to a proxy server, the proxy server being coupled to one or more NAS servers;

[see fig. 1A, client (element 18), proxy server (elements 14 and 16), NAS servers (element 12)]

requesting for a file from a client to the proxy server;

[see fig. 3C, element 58]

authenticating a requesting user of the client;

[see fig. 3C, element 74]

authorizing the requesting user for the file requested;

[see paragraphs 46-47]

requesting for the file from the one or more NAS servers after authenticating and authorizing;

[see fig. 3C, elements 62 and 74]

requesting for the file from the one or more storage elements;

[see fig. 3C, elements 62 and 74]

transferring the file from the one or more storage elements through the NAS server to the proxy server;

[see paragraph 38]

transferring the processed file to the user of the client.

[see fig. 3B, element 54]

Tsao does not explicitly teach the following:

determining header information on the file at the proxy server;

identifying a policy based upon the header information at the proxy server;

Wenocur teaches the limitations cited above that are not explicitly taught by Tsao:

determining header information on the file at the proxy server;

identifying a policy based upon the header information at the proxy server;

[see paragraphs 630-632] It would have been obvious to one of ordinary skill in the art at the time of the invention to modify the Tsao invention to include the above limitations taught by Wenocur in order to implement policy based network management (see Putzolu, US Patent No. 6578076).

Neither Tsao or Wenocur explicitly cite the following:

processing the file according to the policy, the processing including decompressing the file, decrypting the file, and verifying the file.

It is well known in the art to compress files in storage, it is also well known to encrypt files as disclosed in applicant's specification. It would have been obvious to one of ordinary skill in the art to modify the above invention taught by Tsao to compress files for storage as well as encrypting the files for security reasons. It would have been further obvious to decompress and decrypt these files for use by the client. Verifying the file would be obvious as well in order to make sure that the file transferred isn't corrupted or erroneously decrypted/decompressed.

As per claim 2:

The method of claim 1 wherein the file comprises retrieval and verification information.

[see rejection of claim 1 wherein the file is encrypted.]

As per claims 3 and 4:

The method of claim 1 wherein the decryption is provided by a NIST approved process.

[see Wenocur, paragraph 626, "triple-DES, AES"]

As per claim 5:

The method of claim 1 wherein the verifying comprises processing a keyed message authentication code.

[see Wenocur, 630-632, "Key-ID"]

As per claim 6:

The method of claim 5 wherein the keyed message authentication code is generated using a SHA-1 or MD-5 or SHA-512.

[see Wenocur, paragraph 632]

As per claim 7:

The method of claim 1 further comprising determining one or more statistics in a database on a security device.

[see rejection of claim 1 wherein the client was authenticated]

As per claims 8 and 9:

Neither Tsao or Wenocur specifically teach the use of a secure catalog database or using a secure catalog database to detect intrusions. It would have been obvious to one of ordinary skill in the art to which the subject matter pertains to modify the Tsao and Wenocur inventions to allow the server to maintain a secure database of client verification and authentication information. Therefore, repeated failed attempts to access the server using incorrect authentication information can be used to detect possible attackers.

As per claim 10:

The method of claim 1 further comprising adding information associated to positional integrity to the file.

[see Wenocur, paragraph 1069]

As per claim 11:

The method of claim 1 further comprising generating a signature record on the file to detect any modification of the file.

[see Wenocur, paragraph 271]

As per claim 12:

The method of claim 1 further comprising identifying a number of blocks stored within a database, the database including the file.

[see Wenocur, paragraph 615]

CONCLUSION

The art made of record and not relied upon is considered pertinent to applicant's disclosure.

POINTS OF CONTACT

- * Any response to this Office Action should be **faxed to (571) 273-8300 or mailed to:**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Hand-delivered responses should be brought to

Customer Service Window
Randolph Building
401 Dulaney Street
Alexandria, VA 22314

- * Any inquiry concerning this communication or earlier communications from the examiner should be directed to Daniel L. Hoang whose telephone number is 571-270-1019. The examiner can normally be reached on Monday - Thursday, 8:00 a.m. - 5:00 p.m., EST.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Nasser Moazzami can be reached on 571-272-4195. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Daniel L. Hoang
5/25/07

NASSER MOAZZAMI
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100

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5/26/07